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RCUK Open Access Report 2014

1. Introduction

This report details the use of the University of Bristol's RCUK block grant and the level of compliance with RCUK's Open Access policy for the period 1 April 2013 to 31 July 2014 (Year 1).

Bristol has encouraged authors to make their own decisions about whether to choose the gold or the green route to Open Access, based on expert academic judgement of what is most suitable for their research. This has resulted in a higher proportion of authors choosing Gold Open Access. However, the number of Bristol papers made Open Access via the green route is rapidly increasing. Bristol approved an institutional policy to support the transition to Open Access earlier in 2014.

Bristol received £366,000 of BIS/RCUK funding in advance of the implementation of the RCUK policy. A large proportion of this funding was invested in publisher prepayment schemes. This investment has greatly increased Bristol's ability to offer Gold Open Access to those authors who choose it, and will make the RCUK Year 1 and Year 2 grant 'go further'.

2. Financial accountability

Bristol received a block grant of £581,597. In Year 1, 56.5% of the grant was spent.

Expenditure	Credit	Debit	Balance
RCUK allocation	£ 581,597.00		
Payments to publishers		£ 287,760.37	
Staffing		£ 40,144.65	
Training and advocacy		£ 568.40	
Total expenditure		£ 328,473.42	
Balance remaining			£ 253,123.58

*The payments to publishers total includes money spent on APCs as well as payments made in advance using prepayment accounts.

Payments to publishers

The details of the payments made to individual publishers are listed in appendix 1. For reference, the payments for RCUK papers funded using Bristol's BIS allocation are also listed in appendix 2, as these papers were published during the RCUK Open Access reporting period. As a considerable part of Bristol's BIS funding was invested in publisher prepayment schemes, a significant proportion of APC payments have come from this fund to make the RCUK funds go further.

Other expenditure

Staffing

A proportion of the block grant was used for staffing to carry out advocacy work and to establish efficient processes and systems for managing the block grant. It is anticipated that staff costs for Year 3 will be lower, as the processes and systems will be fully established during Year 2.

Training and advocacy

A small amount of money was spent printing explanatory leaflets about Open Access for Bristol researchers. Money was also spent on a daylong workshop for subject librarians, to provide training to equip them with the knowledge to carry out Open Access advocacy.

3. Policy compliance

Publication	Count	%
Papers made Open Access via the gold route*	248	
Papers made Open Access via the green route	58	
Total number of Open Access papers	306	46.6% of baseline is Open Access
All University of Bristol authored, RCUK funded papers	657	
Number of non-compliant papers**	351	

*The number of papers made available via the gold route includes papers funded using the RCUK block grant, the BIS allocation, vouchers received as part of subscriptions and by third parties (usually through individual grants). Please see note on licences below under compliance.

**The implied number of non-compliant papers is the number of University of Bristol authored, RCUK funded papers minus the number of known Open Access papers. It is likely that the majority of these are not compliant because the author did not choose either the gold or green route, rather than the journals themselves being non-compliant. However, it is possible that this includes some Open Access articles of which the Library is not aware (e.g. in subject repositories or Gold journals, where the publication is not on the institutional repository).

Compliance Analysis

The University of Bristol's compliance rate for Year 1 is **46.6% (of which 81% is Gold and 19% Green)**.

Of the 248 Gold papers, 224 were published with a CC-BY (or CC0 1.0) licence. Of the remaining 24 papers, 12 were published with a more restrictive Creative Commons licence or a similar licence where the copyright was transferred to the author, 10 were published with a copyright transfer agreement and 2 are unpublished.

A few papers did not include details of the funding that supported the research, and a large number did not include a statement on how the underlying research materials can be accessed. This will be addressed through renewed advocacy going forward.

4. Baseline Accuracy

The number of University of Bristol authored, RCUK funded articles and conference proceedings published since 1 April 2013 was produced using an InCites report of articles indexed in Web of Science, which acknowledge one or more of the research councils and have a University of Bristol corresponding author (or first author where no corresponding author is listed). As it is not possible to create such specific reports for conference proceedings, the total is supplemented by the number of conference proceedings with Bristol corresponding authors listed in ROS and Researchfish.

There are several limitations to this data. Not all articles and conference proceedings are indexed in Web of Science and the data does not cover the whole reporting period, as it was only possible to generate a report for the period 1 April 2013 to 8 July 2014. The date of publication used by Web of Science is the date of the final issue rather than when the article first appears online, so this data includes papers that were actually published before the start of the RCUK policy. As the report was generated using the date of publication, but the policy applies to papers submitted after 1 April 2013, it also includes papers that were submitted before the RCUK policy came into effect. This will not be an issue in future years.

The number of papers that were made Open Access using funding provided by a third party (i.e. directly from the grant holder without reference to the Library) is representative of papers where the Open Access team has been made aware of this. The actual total is likely to be higher.

The number of papers made Open Access via the green route consists primarily of those identified in Bristol's institutional repository and where the Open Access team has become aware of outputs in subject repositories. The actual number of papers made Open Access through deposit subject repositories is likely to be higher. Bristol's institutional policy current encourages deposit on the repository. We are now reviewing the benefits of moving towards a mandate.

5. Open Access to Article level compliance and finance data

A document providing article level information about compliance and spending will be made Open Access via figshare and Bristol's institutional repository. This will include journal titles, licence statuses and individual APC costs.

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Appendix 1

Payments to publishers using RCUK block grant

Publisher	Number of papers	Total spent (incl. VAT)
ACM	2	£ 1,925.93
American Association of Immunologists	1	£ 1,850.64
American Chemical Society	3	£ 5,867.43
American Institute of Physics	3	£ 4,731.00
American Society for Nutrition	1	£ 3,754.61
ASBMB	3	£ 3,657.94
Cambridge University Press	1	£ 1,794.00
Cell Press/Elsevier	6	£ 19,037.65
Company of Biologists	2	£ 2,088.00
Copernicus GmbH	4	£ 4,539.57
Dove Medical Press	2	£ 3,348.00
Frontiers Media	3	£ 2,852.52
Hindawi Publishing Corporation	1	£ 879.91
IET	1	£ 1,089.47
IEEE unspent prepayment	-	£ 15,548.68
Institute of Physics	4	£ 5,118.00
International Glaciological Society	2	£ 5,520.00
MDPI	2	£ 1,712.98
Nature Publishing Group	6	£ 17,568.00
OMICS Publishing Group	1	£ 891.95
Oxford University Press	9	£ 18,285.60
PeerJ	1	£ 306.50
PLoS	11	£ 11,987.14
Royal Society Publishing	9	£ 12,360.00
Royal Society OA membership	-	£ 5,460.00
Sage unspent prepayment	-	£ 4,800.00
Society for Neuroscience	2	£ 5,631.33
Springer	7	£ 13,860.18
Springer unspent prepayment	-	£ 14,496.00
Wiley	22	£ 40,233.60
Wiley unspent prepayment	-	£ 55,497.60
World Scientific Publishing	1	£ 1,066.14
Total	110	£ 287,760.37

Appendix 2

Payments to publishers using the BIS allocation

Publisher	Number of papers	Total spent (incl. VAT)
American Physical Society	1	£ 2,119.97
American Society for Biochemistry and Molecular Biology	1	£ 1,003.95
BioMed	17	£ 22,975.50
BioMed unspent prepayment	-	£ 27,024.50
British Medical Journal	5	£ 7,497.00
British Medical Journal unspent prepayment	-	£ 15,303.00
British Medical Journal OA membership	-	£ 7,200.00
Cambridge University Press	2	£ 4,068.00
Cell Press/Elsevier	1	£ 3,947.37
Copernicus GmbH	2	£ 1,221.48
Elsevier	40	£ 78,868.89
Elsevier unspent prepayment	-	£ 11,497.00
Frontiers Media	2	£ 2,632.95
Optical Society of America	1	£ 1,412.30
Oxford University Press	2	£ 4,140.00
PLoS	4	£ 4,209.47
PNAS	1	£ 789.47
Royal Society of Chemistry	3	£ 5,220.00
Royal Society of Chemistry unspent prepayment	-	£ 12,180.00
Royal Society OA membership	-	£ 900.00
Sage	4	£ 1,200.00
Sage unspent prepayment	-	£ 1,200.00
Taylor & Francis	1	£ 1,716.48
Taylor & Francis unspent prepayment	-	£ 70,284.72
University of Chicago Press	1	£ 558.07
Wiley	20	£ 36,268.80
Total	108	£ 325,438.92